

3628
[Signature]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Douglas R. Elliott

For : METHOD OF REPEATEDLY SECURITIZING INTELLECTUAL PROPERTY ASSETS AND FACILITATING INVESTMENTS THEREIN

U.S. Serial No.: 09/758,624

Filed: January 11, 2001

Group Art Unit: 3628

Examiner: DASS, Harish T

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:	
Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450	
on	<u>Dec. 10, 2004</u>
<u>Karen Roper</u>	
Name: Karen Roper	

INFORMATION DISCLOSURE STATEMENT**PURSUANT TO 37 C.F.R. §§ 1.97 & 1.98**

Dear Sir:

Pursuant to the provisions of 37 C.F.R. § 1.97, Applicant hereby makes of record the references set forth in the attached forms pursuant to 37 C.F.R. § 1.56(e). No inference should be made that the cited references are in fact material, are in fact prior art or that no better art exists. The cited references are not listed in any order based on their pertinence.

Pursuant to the provisions of 37 C.F.R. § 1.98(d), Applicant hereby makes of record the references set forth in the attached forms PTO/SB/08A (1 page) and PTO/SB/08B (2 pages), copies of which were previously submitted with or cited by the Examiner during prosecution of U.S. Application Serial No. 09/481,126, titled "METHOD FOR OBTAINING AND ALLOCATING INVESTMENT INCOME BASED ON THE CAPITALIZATION OF INTELLECTUAL PROPERTY," filed on January 11, 2000, of which the present continuation application relies on for an earlier effective filing date under 35 U.S.C. 120.

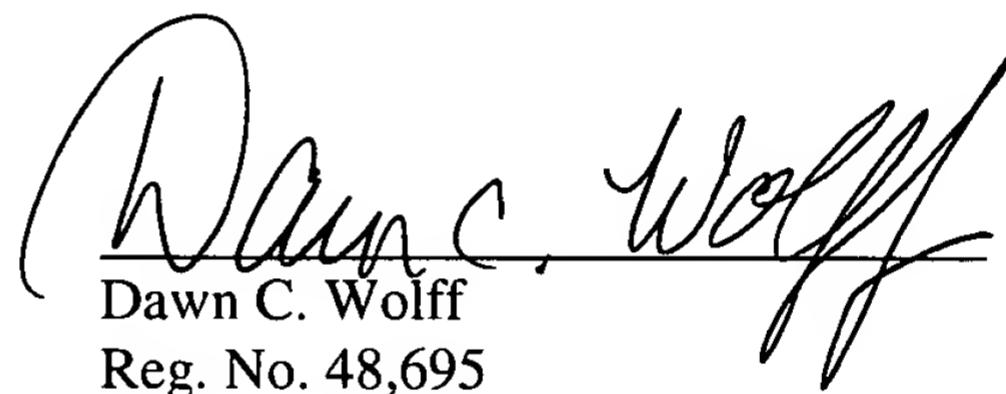
No representation is made, and no representation is intended, that more relevant material does not exist, or that the order of presentation of this material in any way reflects the relative pertinence. The references cited are not intended to constitute an admission of any kind. Specifically, this presentation is not an admission that the items listed are properly citable against the above-identified application.

It is requested that the Examiner fully consider the cited references and that they be cited on the front of any patent issuing from this application.

It is believed that no fee is due in conjunction with the filing of this Information Disclosure Statement. However, if a fee for filing this Information Disclosure Statement is required, please charge such fee to Deposit Account No. 50-2180 of Paul Storm, P.C.

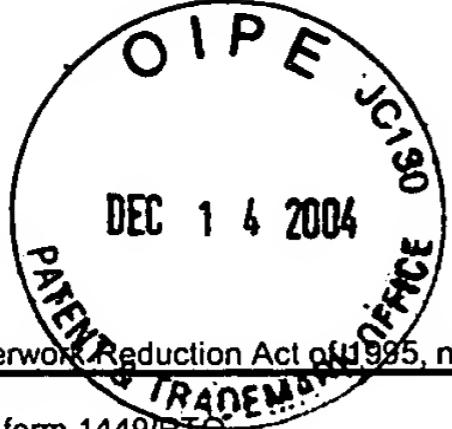
Respectfully submitted,

STORM & HEMINGWAY, L.L.P.



Dawn C. Wolff
Reg. No. 48,695

8117 Preston Road
Suite 460
Dallas, TX 75225
214-292-8995
214-292-8999 (fax)



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
A collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 3

Complete if Known

Complete if Known

Application Number	09/758,624
Filing Date	01/11/2001
First Named Inventor	Elliott, Douglas
Art Unit	3628
Examiner Name	Harish T. Dass
Attorney Docket Number	TEQ01117P1US

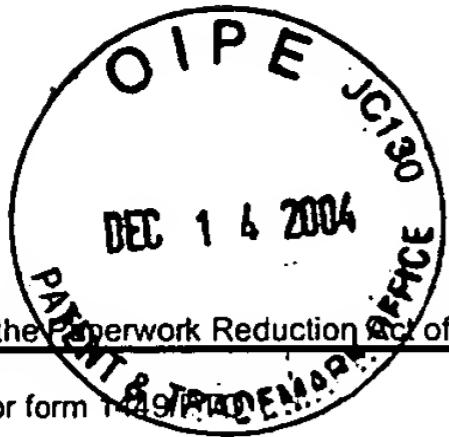
U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Signature	Date Considered
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

				<i>Complete if Known</i>	
				Application Number	09/758,624
				Filing Date	11/11/2001
				First Named Inventor	Elliott, Douglas
				Art Unit	3628
				Examiner Name	Harish T. Dass
Sheet	2	of	3	Attorney Docket Number	TEQ01117P1US

NON-PATENT LITERATURE DOCUMENTS

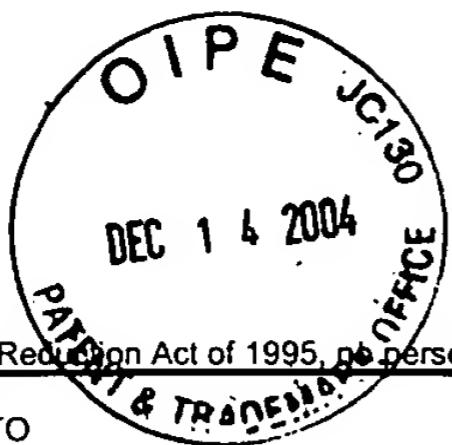
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	BA	THURM, Scott, "A Flood of Web Patents Stirs Dispute Over Tactics," The Wall Street Journal, Oct. 9, 1998, pp. B1, B4.	
	BB	FREMGEN, James M., Accounting for Managerial Analysis, 1972, pp. 388-399, Richard D. Irwin, Inc., Homewood, IL, USA.	
	BC	"Industry Trends in Research Support and Links to Public Research," June 25, 1998, National Science Board.	
	BD	GRAEF, Jean, "Measuring Intellectual Assets", Montague Institute Review, March 1, 1997.	
	BE	BOWEN, Ted Smalley, "Aurigin Application Helps Users Get a Grip on Intellectual Assets", Enterprise Computing, 1998, InfoWorld Publishing Co., San Mateo, CA	
	BF	BINGAMAN, Anne, "Antitrust, Innovation and Intellectual Property," presented to the Program on Antitrust & Intellectual Property, 10/7/1994, Stanford Law School, Stanford, CA	
	BG	Standard Federal Tax Reports, Code Section 174, "Research Expenditures," 1997, pp. 27,118-27,151, Commerce Clearing House, Inc.	
	BH	KLEIN, Joel I., "Cross-Licensing and Antitrust Law" presented to the American Intellectual Property Law Association on 5/02/1997, San Antonio, Tx., pp. 4-5.	
	BI	CARNEY, Robert T. and MCGAVOCK, Daniel M., "Tax Strategies for Protecting Value of IP," March 1997, pp. 21-22, les Nouvelles.	
	BJ	SOLT, Michael E., "SWORD Financing of Innovation in the Biotechnology Industry," Financial Management, Summer 1993, Vol. 22, No. 2, p. 173 et seq.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.
This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

Complete if Known

Application Number	09/758,624
Filing Date	01/11/2001
First Named Inventor	Elliott, Douglas
Art Unit	3628
Examiner Name	Harish T. Dass
Attorney Docket Number	TEQ01117P1US

Sheet

3

of

3

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	BK	"Managing, Valuing and Protecting Intellectual Assets", Report No. 1182-97-CH, 1997, The Conference Board.	
	BL	MCGAVOCK, Danial M., and LASINSKI, Michael J., "IP Survey Finds 'Gap' in Information," September 1998, p. 113, les Nouvelles.	
	BM	Trade Regulation Reports, "Patents, Trademarks, Copyrights," Sections 5080, 5085 & 5100, 1989, Commerce Clearing House, Inc.	
	BN	ORLEANS, G.P., "Pricing Technology Licensing," Licensing Law Handbook, Ch. 2, pp. 119-131 & 277, 1982, Clark Boardman Co., Ltd., New York, NY.	
	BO	Antitrust Guidelines for the Licensing of Intellectual Property, April 6, 1995, U.S. Department of Justice & the Federal Trade Commission.	

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.